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The Registered Options Principal Qualification Examination (Series 4) was designed to test a candidate's knowledge of the rules and statutory provisions applicable to the supervisory management of a firm's options personnel and options accounts. After passing the exam, a registered person may supervise a FINRA member firm's options business and is qualified to oversee trades on all forms of options, from equity options to foreign currency options to options on government and mortgage-backed securities. The subject areas covered in the exam are: Options Investment Strategies; Supervision of Sales Activities and Trading Practices; Supervision of Employees, Business Conduct; and Recordkeeping and Reporting Requirements.

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